

**Law Offices of Albert Wai-Kit Chan, LLC**

World Plaza, Suite 604, 141-07 20<sup>th</sup> Avenue, • Whitestone, NY 11357 • USA  
 Tel: (718) 799-1000 • Fax: (718) 357-8615 e-mail: chank@kitchanlaw.com

**PLEASE DELIVER THE FOLLOWING PAGES**

TO : PCT LEGAL OFFICE; ATTN: MARK RAGLAND

COMPANY : UNITED STATES PATENT AND TRADEMARK OFFICE

U.S. SERIAL NO. : 10/554,181

FAX NO. : 571-273-0459

FROM : ALBERT WAI-KIT CHAN/ss

RE : NALDINI ET AL., FOR LENTIVIRAL VECTORS CARRYING SYNTHETIC BI-DIRECTIONAL PROMOTERS AND USES THEREOF", U.S. SERIAL NO. 10/554,181 FILED OCTOBER 21, 2005. CORRESPONDING TO INTERNATIONAL APPLICATION NO. PCT/IT04/000227, FILED APRIL 21, 2004, CLAIMING THE BENEFIT OF U.S. SERIAL NO. 60/465,080, FILED APRIL 24, 2003 - OUR DKT. #1130-PCT-US

**RECEIVED**

17 JUL 2006

Patent Staff  
International Division

TOTAL NUMBER OF PAGES, INCLUDING COVER SHEET: 24

\* IF YOU DO NOT RECEIVE ALL THE PAGES, PLEASE CALL BACK AS SOON AS POSSIBLE TO (718) 799-1000.

**COMMUNICATION TO CORRECT JUNE 1, 2006 FILING RECEIPT AND NOTICE OF ACCEPTANCE OF APPLICATION UNDER 35 U.S.C. 371 AND 37 CFR 1.495 for NALDINI, et al., LENTIVIRAL VECTORS CARRYING SYNTHETIC BI-DIRECTIONAL PROMOTERS AND USES THEREOF, U.S. Serial No. 10/554,181, Filed October 21, 2005**

I hereby certify that the enclosed paper is being facsimile transmitted to: PCT Legal Office, United States Patent and Trademark Office, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 at 571-273-8300 on the date shown below.

Albert Wai-Kit Chan 7/17/06  
 Albert Wai-Kit Chan Date  
 Reg. No. 36,479

THE INFORMATION CONTAINED IN THIS FACSIMILE TRANSMISSION IS INTENDED SOLELY FOR THE PERSONAL AND CONFIDENTIAL USE OF THE DESIGNATED RECIPIENT(S) NAMED ABOVE. THIS TRANSMISSION MAY CONTAIN INFORMATION THAT IS CONFIDENTIAL UNDER THE CLIENT AND ATTORNEY RELATIONSHIP. IF THE READER OF THIS MESSAGE IS NOT A DESIGNATED RECIPIENT OR AN AGENT RESPONSIBLE FOR DELIVERING IT TO A DESIGNATED RECIPIENT, YOU ARE HEREBY NOTIFIED THAT YOU HAVE RECEIVED THIS DOCUMENT IN ERROR AND THAT ANY REVIEW, DISTRIBUTION, OR COPYING OF THIS MESSAGE IS STRICTLY PROHIBITED. IF YOU HAVE RECEIVED THIS COMMUNICATION IN ERROR, OR IF UPON READING THIS DOCUMENT YOU HAVE REASON TO BELIEVE THAT THE DOCUMENT WAS INADVERTENTLY SENT TO YOU, PLEASE NOTIFY US IMMEDIATELY BY COLLECT TELEPHONE CALL, AND RETURN THE ORIGINAL MESSAGE TO US BY MAIL. THANK YOU.

Dkt. #1130-PCT-US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : NALDINI, et al.

U.S. Serial No. : 10/554,181, corresponding to International Application No. PCT/IT04/000227, filed April 21, 2004, claiming the benefit of U.S. Serial No. 60/465,080, filed April 24, 2003

Filed : October 21, 2005

For : LENTIVIRAL VECTORS CARRYING SYNTHETIC BI-DIRECTIONAL PROMOTERS AND USES THEREOF

Law Offices of Albert Wai-Kit Chan, LLC  
World Plaza, Suite 604  
141-07 20<sup>th</sup> Avenue  
Whitestone, NY 11357

July 17, 2006

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**COMMUNICATION TO CORRECT JUNE 1, 2006 FILING RECEIPT AND  
NOTICE OF ACCEPTANCE OF APPLICATION UNDER 35 U.S.C. 371  
AND 37 CFR 1.495**

On July 17, 2006 Applicants' undersigned attorneys office contacted the PCT Helpdesk and spoke with Mr. Mark Ragland regarding the June 1, 2006 Filing Receipt and the Notice of Acceptance of Application under 35 U.S.C. 371 and 37 CFR 1.495 attached hereto as **Exhibit A** and **Exhibit B**, respectively, issued by the United States Patent and Trademark Office (USPTO) for the above-identified application and the discrepancy regarding the 371 date.

Applicants' undersigned attorneys' office submitted the attached December 21, 2005 Communication to Submit a Copy of the Original Declaration and Power of Attorney with return receipt postcard, **Exhibit C**, to the USPTO which was received by the USPTO on December 27, 2005 as indicated by the stamp on the return receipt postcard.

Applicants : NALDINI, et al.  
U.S. Serial No.: 10/554,181  
Filed : October 21, 2005  
Page : 2

Accordingly, Applicants maintain that the 371 date on the June 1, 2006 Filing Receipt and the Notice of Acceptance of Application under 35 U.S.C. 371 and 37 CFR 1.495 should read as December 27, 2005 instead of December 17, 2005 and respectfully request that a corrected June 1, 2006 Filing Receipt and the Notice of Acceptance of Application under 35 U.S.C. 371 and 37 CFR 1.495 be issued as indicated in the attached marked-up copies attached hereto as **Exhibit D** and **Exhibit E**, respectively.

Furthermore, Applicants request that the domestic priority data and the total number of drawings be corrected as indicated on the marked-up Filing Receipt attached hereto as **Exhibit D**.

If a telephone interview would be of assistance in advancing prosecution of the subject application, Applicants' undersigned attorney invites the Examiner to telephone him at the number provided below.

No fee is deemed necessary in connection with the filing of this Communication. However, if any fee is required, authorization is hereby given to charge the amount of any such fee to Deposit Account No. 50-1891.

I hereby certify that this paper is being facsimile transmitted to:	
Attn: PCT Legal Office Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450 Fax No.: (571) 273-0459	
on the date shown below.	
<u>Albert Wai-Kit Chan</u>	<u>7/17/06</u>
Albert Wai-Kit Chan	Date
Reg. No. 36,479	

Respectfully submitted,  
Albert Wai-Kit Chan  
Albert Wai-Kit Chan  
Registration No. 36,479  
Attorney for Applicants  
Law Offices of  
Albert Wai-Kit Chan, LLC  
World Plaza, Suite 604  
141-07 20<sup>th</sup> Avenue  
Whitestone, New York 11357  
Tel: (718) 799-1000  
Fax: (718) 357-8615  
Email: chank@kitchanlaw.com

# Exhibit A



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/554,181	12/17/2005	1642	515	1130-PCT-US	27	18	1

Albert Wai Kit Chan  
Law Offices of Albert Wai Kit Chan  
World Plaza Suite 604  
141 07 20th Avenue  
Whitestone, NY 11357

CONFIRMATION NO. 1875

## FILING RECEIPT

\*OC000000019037917\*

Date Mailed: 06/01/2006

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Luigi Naldini, Milan, ITALY;  
Mario Amendola, Milan, ITALY;  
Elisa Vigna, Milan, ITALY;

## Power of Attorney:

Albert Chan-36479

## Domestic Priority data as claimed by applicant

This application is a 371 of PCT/IT04/00227 04/21/2004

## Foreign Applications

If Required, Foreign Filing License Granted: 05/31/2006

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US10/554,181**

Projected Publication Date: 09/07/2006

Non-Publication Request: No

Early Publication Request: No

\*\* SMALL ENTITY \*\*

JUN - 9 2006

SKL

**Title**

Lentiviral vectors carrying synthetic bi-directional promoters and uses thereof

**Preliminary Class**

435

**PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES**

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process simplifies the filing of patent applications on the same invention in member countries, but does not result in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

#### **NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

# Exhibit B





# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

U.S. APPLICATION NUMBER NO. 10/554,181	FIRST NAMED APPLICANT Luigi Naldini	ATTY. DOCKET NO. 1130-PCT-US
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INTERNATIONAL APPLICATION NO. PCT/IT04/00227
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I.A. FILING DATE 04/21/2004	PRIORITY DATE
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Albert Wai Kit Chan  
Law Offices of Albert Wai Kit Chan  
World Plaza Suite 604  
141 07 20th Avenue  
Whitestone, NY 11357

CONFIRMATION NO. 1875  
371 ACCEPTANCE LETTER  
\*OC000000019037918\*

Date Mailed: 06/01/2006

## NOTICE OF ACCEPTANCE OF APPLICATION UNDER 35 U.S.C 371 AND 37 CFR 1.495

The applicant is hereby advised that the United States Patent and Trademark Office in its capacity as a Designated / Elected Office (37 CFR 1.495), has determined that the above identified international application has met the requirements of 35 U.S.C. 371, and is ACCEPTED for national patentability examination in the United States Patent and Trademark Office.

The United States Application Number assigned to the application is shown above and the relevant dates are:

<u>12/17/2005</u>	<u>12/27/2005</u>
DATE OF RECEIPT OF 35 U.S.C. 371(c)(1), (c)(2) and (c)(4) REQUIREMENTS	DATE OF COMPLETION OF ALL 35 U.S.C. 371 REQUIREMENTS

A Filing Receipt (PTO-103X) will be issued for the present application in due course. **THE DATE APPEARING ON THE FILING RECEIPT AS THE "FILING DATE" IS THE DATE ON WHICH THE LAST OF THE 35 U.S.C. 371 (c)(1), (c)(2) and (c)(4) REQUIREMENTS HAS BEEN RECEIVED IN THE OFFICE. THIS DATE IS SHOWN ABOVE.** The filing date of the above identified application is the international filing date of the international application (Article 11(3) and 35 U.S.C. 363). Once the Filing Receipt has been received, send all correspondence to the Group Art Unit designated thereon.

The following items have been received:

- Indication of Small Entity Status
- Copy of the International Application filed on 10/21/2005
- Copy of the International Search Report filed on 10/21/2005
- Preliminary Amendments filed on 10/21/2005
- Information Disclosure Statements filed on 10/21/2005
- Biochemical Sequence Diskette filed on 10/21/2005
- Oath or Declaration filed on 12/17/2005
- Biochemical Sequence Listing filed on 10/21/2005
- Small Entity Statement filed on 10/21/2005
- Request for Immediate Examination filed on 10/21/2005
- U.S. Basic National Fees filed on 10/21/2005

- Priority Documents filed on 10/21/2005
- Power of Attorney filed on 12/17/2005
- Specification filed on 10/21/2005
- Claims filed on 10/21/2005
- Abstracts filed on 10/21/2005
- Drawings filed on 10/21/2005

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Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

---

LAMONT M HUNTER

Telephone: (703) 308-9140 EXT 201

PART 1 - ATTORNEY/APPLICANT COPY

FORM PCT/DO/EO/903 (371 Acceptance Notice)

# Exhibit C

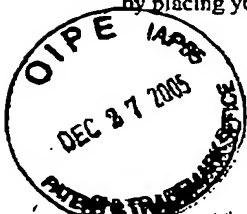
Applicants: NALDINI, et al.  
Client: DeSimone & Partners (405)  
Date: December 21, 2005

File No.: 1130-PCT-US

Kindly acknowledge receipt of the accompanying

**COMMUNICATION TO SUBMIT A COPY OF THE ORIGINAL DECLARATION AND POWER OF ATTORNEY for NALDINI, et al., for LENTIVIRAL VECTORS CARRYING SYNTHETIC BI-DIRECTIONAL PROMOTERS AND USES THEREOF, U.S. Serial No. 10/554,181, Filed October 21, 2005, corresponding to International Application No. PCT/IT04/000227, filed April 21, 2004, claiming the benefit of U.S. Serial No. 60/465,080, filed April 24, 2003, including a copy of the original Declaration and Power of Attorney as Exhibit A (2 pages) and a check in the amount of SIXTY FIVE DOLLARS (\$65.00).**

by placing your receiving date stamp hereon and returning to us.



153 Rec'd PCT/PTO 27 DEC 2005

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Wai-Kit Chan, LLC

Milstone, NY 11357

Fax: (718) 357-8615

Dkt: #1130-PCT-US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : NALDINI, et al.

U.S. Serial No. : 10/554,181 corresponding to International Application No. PCT/IT04/000227, filed April 21, 2004, claiming the benefit of U.S. Serial No. 60/465,080, filed April 24, 2003

Filed : October 21, 2005

For : LENTIVIRAL VECTORS CARRYING SYNTHETIC BI-DIRECTIONAL PROMOTERS AND USES THEREOF

Law Offices of Albert Wai-Kit Chan, LLC  
World Plaza, Suite 604  
141-07 20<sup>th</sup> Avenue  
Whitestone, NY 11357

December 21, 2005

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir/Madam:

**COMMUNICATION TO SUBMIT A COPY OF THE ORIGINAL DECLARATION AND  
POWER OF ATTORNEY**

This Communication is being filed, pursuant to 37 C.F.R. 1.497(a), to submit a copy of the original Declaration & Power of Attorney, duly executed by the inventors of the above-identified application. A copy of the original Declaration & Power of Attorney is attached hereto as **Exhibit A** (2 pages). 37 CFR 1.492(e) states that a surcharge is required for the filing of the oath or declaration later than 30 months from the earliest claimed priority date. Applicants' earliest claimed priority date is April 24, 2003, with the 30-month period expiring on October 24, 2005. Accordingly, Applicants hereby enclose a check in the amount of SIXTY-FIVE DOLLARS (\$65.00) to cover the above-mentioned surcharge.

Applicants : NALDINI, et al.  
U.S. Serial No. : 10/554,181  
Filed : October 21, 2005  
Page : 2

The deadline to submit the Declaration and Power of Attorney is the later of 32 months from the earliest priority date or 2 months from the mailing of the Notification of Missing Requirements. Accordingly, the Declaration and Power of Attorney is being timely submitted.

If a telephone interview would be of assistance in advancing the prosecution of the subject application, Applicants' undersigned attorney invites the Examiner to telephone him at the number provided below.

No fee, other than the SIXTY-FIVE DOLLARS (\$65.00), is deemed necessary in connection with the filing of this Communication. However, if any additional fee is required, authorization is hereby given to charge the amount of any such fee to Deposit Account No. 50-1891. Conversely, authorization is also hereby given to credit the amount of any overpayment to Deposit Account No. 50-1891.

Respectfully submitted,

Albert Wai-Kit Chan  
Albert Wai-Kit Chan  
Registration No. 36,479  
Attorney for Applicants  
Law Offices of  
Albert Wai-Kit Chan, LLC  
World Plaza, Suite 604  
141-07 20<sup>th</sup> Avenue  
Whitestone, New York 11357  
Tel: (718) 799-1000  
Fax: (718) 357-8615  
Email: chank@kitchanlaw.com

I hereby certify that this paper is being deposited this date with the U.S. Postal Service with sufficient postage for first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

Albert Wai-Kit Chan 12/22/05  
Albert Wai-Kit Chan Date  
Reg. No. 36,479

# Exhibit A

Dkt. 1130 -PCT-US

Page 1 of 2

**DECLARATION AND POWER OF ATTORNEY**

As a below-named inventors, we hereby declare that:

Our residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**LENTIVIRAL VECTORS CARRYING SYNTHETIC BI-DIRECTIONAL PROMOTERS  
AND USES THEREOF**

the specification of which  
(check one)

\_\_\_\_\_ is attached hereto or  
☒ was filed on October 21, 2005  
as Application Serial No. 10/554,181 and  
was amended on \_\_\_\_\_ (if applicable)

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information of which I am aware which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application of which priority is claimed:

Prior Foreign Application(s) Number	Country	Filing Date	Priority Claimed	
			Yes	No
60/465,080	USA	April 24, 2003	YES	_____

I hereby claim the benefit under Title 35, United States Code, Section 120 of any United States Application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Application Serial No.  
PCT/IT2004/000227

Filing Date  
April 21, 2004

Status  
Pending



Dkt. 1130-PCT-US  
Declaration and Power of Attorney  
Page 2 of 2

And I hereby appoint:

Albert Wai-Kit Chan (Reg. No. 36,479) and Mark Elkins (Reg. No. 42,510)

Attorney, with full power of substitution and revocation, to prosecute this application, to make alterations and amendments therein, to receive the patent, to transact all business in the Patent and Trademark Office connected therewith and to file any International Applications which are based thereon under the provisions of the Patent Cooperation Treaty.

Please address all communications, and direct all telephone calls, regarding this application to

Albert Wai-Kit Chan  
Law Offices of Albert Wai-Kit Chan, LLC  
World Plaza, Suite 604  
141-07 20<sup>th</sup> Avenue  
Whitestone, NY 11357  
Tel: (718) 357-8836  
Fax: (718) 357-8615

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first joint inventor: INALDINI Luigi  
Inventor's signature: [Signature]  
Citizenship: ITALY Date of Signature: 17/11/05  
Residence: c/o Fondazione Centro San Raffaele del Monte Tabor, Via Olgettina 60, 20132 Milan, ITALY  
Post Office Address: same as the residence address

Full name of sole or first joint inventor: AMENDOLA Mario  
Inventor's signature: [Signature]  
Citizenship: ITALY Date of Signature: 17/11/05  
Residence: c/o Fondazione Centro San Raffaele del Monte Tabor, Via Olgettina 60, 20132 Milan  
Post Office Address: same as the residence address

Full name of sole or first joint inventor: VIGNA Elisa  
Inventor's signature: [Signature]  
Citizenship: ITALY Date of Signature: 21-11-05  
Residence: c/o Fondazione Centro San Raffaele del Monte Tabor, Via Olgettina 60, 20132 Milan  
Post Office Address: same as the residence address

# Exhibit D



## UNITED STATES PATENT AND TRADEMARK OFFICE

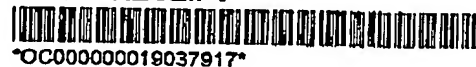
UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
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10/554,181	42/17/2005 12/27/2005	1642	515	1130-PCT-US	27 26	18	1

Albert Wai Kit Chan  
Law Offices of Albert Wai Kit Chan  
World Plaza Suite 604  
141 07 20th Avenue  
Whitestone, NY 11357

CONFIRMATION NO. 1875

## FILING RECEIPT



\*0C000000019037917\*

Date Mailed: 06/01/2006

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Luigi Naldini, Milan, ITALY;  
Mario Amendola, Milan, ITALY;  
Elisa Vigna, Milan, ITALY;

## Power of Attorney:

Albert Chan-36479

## Domestic Priority data as claimed by applicant

This application is a 371 of PCT/IT04/00227 04/21/2004, claiming the benefit of  
U.S. Serial No. 60/465,080, filed April 24, 2003

## Foreign Applications

If Required, Foreign Filing License Granted: 05/31/2006

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US10/554,181**

Projected Publication Date: 09/07/2006

Non-Publication Request: No

Early Publication Request: No

\*\* SMALL ENTITY \*\*

JUN - 9 2006

SKL

**Title**

Lentiviral vectors carrying synthetic bi-directional promoters and uses thereof

**Preliminary Class**

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## **PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES**

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

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### **LICENSE FOR FOREIGN FILING UNDER Title 35, United States Code, Section 184 Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies; particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

#### **NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

# Exhibit E



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
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U.S. APPLICATION NUMBER NO. 10/554,181	FIRST NAMED APPLICANT Luigi Naldini	ATTY. DOCKET NO. 1130-PCT-US
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INTERNATIONAL APPLICATION NO. PCT/IT04/00227
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LA. FILING DATE 04/21/2004	PRIORITY DATE
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Albert Wai Kit Chan  
 Law Offices of Albert Wai Kit Chan  
 World Plaza Suite 604  
 141 07 20th Avenue  
 Whitestone, NY 11357

CONFIRMATION NO. 1875  
 371 ACCEPTANCE LETTER  
 \*OC000000019037918\*

Date Mailed: 06/01/2006

### NOTICE OF ACCEPTANCE OF APPLICATION UNDER 35 U.S.C 371 AND 37 CFR 1.495

The applicant is hereby advised that the United States Patent and Trademark Office in its capacity as a Designated / Elected Office (37 CFR 1.495), has determined that the above identified international application has met the requirements of 35 U.S.C. 371, and is ACCEPTED for national patentability examination in the United States Patent and Trademark Office.

The United States Application Number assigned to the application is shown above and the relevant dates are:

<del>12/17/2005</del> 12/27/2005	12/27/2005
DATE OF RECEIPT OF 35 U.S.C. 371(c)(1), (c)(2) and (c)(4) REQUIREMENTS	DATE OF COMPLETION OF ALL 35 U.S.C. 371 REQUIREMENTS

A Filing Receipt (PTO-103X) will be issued for the present application in due course. **THE DATE APPEARING ON THE FILING RECEIPT AS THE " FILING DATE" IS THE DATE ON WHICH THE LAST OF THE 35 U.S.C. 371 (c)(1), (c)(2) and (c)(4) REQUIREMENTS HAS BEEN RECEIVED IN THE OFFICE. THIS DATE IS SHOWN ABOVE. The filing date of the above identified application is the international filing date of the international application (Article 11(3) and 35 U.S.C. 363).** Once the Filing Receipt has been received, send all correspondence to the Group Art Unit designated thereon.

The following items have been received:

- Indication of Small Entity Status
- Copy of the International Application filed on 10/21/2005
- Copy of the International Search Report filed on 10/21/2005
- Preliminary Amendments filed on 10/21/2005
- Information Disclosure Statements filed on 10/21/2005
- Biochemical Sequence Diskette filed on 10/21/2005
- Oath or Declaration filed on ~~12/17/2005~~ 12/27/2005
- Biochemical Sequence Listing filed on 10/21/2005
- Small Entity Statement filed on 10/21/2005
- Request for Immediate Examination filed on 10/21/2005
- U.S. Basic National Fees filed on 10/21/2005

- Priority Documents filed on 10/21/2005
- Power of Attorney filed on 12/17/2005
- Specification filed on 10/21/2005
- Claims filed on 10/21/2005
- Abstracts filed on 10/21/2005
- Drawings filed on 10/21/2005

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Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

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LAMONT M HUNTER

Telephone: (703) 308-9140 EXT 201

PART 1 - ATTORNEY/APPLICANT COPY

FORM PCT/DO/EO/903 (371 Acceptance Notice)



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\*\*\* RX REPORT \*\*\*  
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RECEPTION OK

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